



State of California

Employment Training Panel

Arnold Schwarzenegger, Governor

December 14, 2008

Michael Rankin, Principal
E3 Financial
4100 Newport Place Drive, #650
Newport Beach, CA 92660

Dear Mr. Rankin:

RE: Final MONITORING VISIT REPORT for E3 Financial Retraining II SB—ET08-0130

Date of the Visit:	10/30/08
Beginning/Ending Time:	2:00pm – 4:00pm
Date of Last Visit:	12/17/07
Visit Location:	Newport Beach, California
Persons in attendance:	Amanda Davis, Manager, E3 Financial; Clara Fernandez, Administrative Support Person, E3 Financial; and Suzanne Godin, ETP Contract Analyst
Action Required:	No

CONTRACT INFORMATION:

Term of Agreement:	7/02/07-1/01/09	Agreement Amount:	\$22,440
Training Start Date:	7/03/07	No. to Retain:	17
Date Training must be Completed:	4/01/09	Range of Hours:	8 - 60
Type of Trainee:	Retrainee	Weighted Ave. Hours:	60

FINAL REPORT SUMMARY:

• **AGREEMENT HISTORY**

The agreement was approved at the June 2007 panel meeting and training began on 7/03/07. Ms. Davis reported that all training was completed on 9/30/08 which allows for the 90-day retention period to be completed by the term ending date of the Agreement (1/01/09). ETP

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approved one amendment revision during the term of the agreement that extended the term ending date by 6 months.

• ***INTERVIEW WITH THE CONTRACT REPRESENTATIVE, AMANDA DAVIS***

You reported that the ETP-funded training had been a positive experience. This was E3's second ETP Agreement. The driving force of the second ETP Agreement was the extensive training needed to implement the newly purchased CRM (Customer Relationship Management) software system. As a result of the skill sets acquired during this training, employees are now able to competently navigate the new database system. The new CRM system has improved efficiencies and enabled employees to complete tasks in fewer steps; and track clients' issues from beginning to end; and ultimately provide better customer service to E3's clients. Training has given frontline workers the process improvement and technical skills needed to perform multiple functions and provide superior customer service to your clients.

Lastly, you reported that the ETP on-line record keeping system continues to be extremely user friendly and that Ms. Godin was always available to provide technical assistance when necessary.

DISCUSSION OF PROJECTED EARNINGS:

Ms. Fernandez provided Ms. Godin with projected statistics for the closeout of the Agreement. The Agreement's training plan specified that trainees would be provided with a minimum of 8 to a maximum of 60 hours of class/lab training per person. Seventeen (17) trainees (100 percent of planned retentions) have completed the specified range of class/lab hours and retention period. E3 tracked 764 hours of training in the ETP on-line tracking system for the above 17 trainees. Therefore, E3 is eligible to earn \$16,808 (75 percent of the encumbered amount) if all other agreement conditions are met. As of the date of this report, E3 had received \$5,688 in unearned progress payments.

PROJECT STATUS PROVIDED BY THE CONTRACTOR:

Trainees Started Training:	19	Completed Training:	17
Trainees Enrolled:	19	Completed Retention:	7
Dropped Following Enrollment:	2	In Retention Period:	10
No. Completed Minimum Reimbursable Hours :	17		

TRAINING STATUS:

The statistical data submitted by E3 project staff during this visit, as detailed above, was in agreement with ETP's Trainee Status Report as of the date of the final visit.

SUBAGREEMENTS:

No additional subagreements had been added since the last monitoring visit.

ATTENDANCE ROSTERS/INVOICES:

No invoices had been submitted as of the date of the final monitoring visit. Ms. Godin assisted Ms. Fernandez in the submittal of Invoice #1 for \$5,688 which included Progress Payment 1's (Enrollment) and Progress Payment 2's (Completion of Training) for 7 trainees. The analyst compared the hours and dates on the class/lab attendance rosters to the information reported on the contractor's tracking documents in order to validate the hours for these trainees before submittal of this invoice. Ms. Godin advised you and Ms. Fernandez that E3 will be eligible to invoice for a Final Payment (Completion of the 90-Day Retention Period) for all 17 trainees after 12/30/08. You were also advised that the closeout invoice should be submitted no later than 30 days after the end term date of the Agreement, which is 1/01/09. If you are unable to submit the closeout invoice by that date, a request for an extension must be submitted to ETP's Fiscal Unit Manager, Kulbir Mayall.

AUDIT:

E3 will be notified in writing if this agreement is selected for an audit that will be conducted either at your site (field audit) or by telephone if selected for a desk audit (or "review"). These notifications will be sent in advance to allow ample preparation time and will include a list of documentation that will be examined by the auditor. A list of the documentation typically examined during an audit will be included along with the Audit Notification and Audit Confirmation letters. To provide support of training, original training attendance documentation is required; photocopied records are not acceptable.

Listed below are types of records typically requested during an ETP field audit:

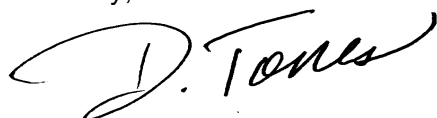
- Training attendance records such as rosters, sign-in sheets, etc.
- Payroll records of individual trainees to verify wage and hours worked
- Personnel records regarding occupation and dates of employment
- Documentation of employer paid health benefits (if applicable)
- Cash receipts to verify receipt and accounting of ETP funds

RECORD RETENTION:

Records must be retained within your control and be available for review at your place of business within the State of California. This responsibility will terminate no sooner than four (4) years from the date of the termination of the Agreement or three (3) years from the date of the last payment by ETP to the Contractor, or the date of resolution of appeals, audits, claims, exceptions, or litigation, whichever is later.

If you have any questions or comments regarding this report, please contact Suzanne Godin at (619) 686-1918 or at sgodin@etp.ca.gov within ten (10) working days from the receipt date of this letter.

Sincerely,



Diana Torres, Manager
San Diego Regional Office

A handwritten signature in black ink, appearing to read 'SMB', located above the printed name of the sender.

Suzanne Godin, Contract Analyst
San Diego Field Office

cc: Amanda Davis, Manager, E3 Financial (via e-mail)
Kulbir Mayall, Fiscal Manager
Master File
Project File